

Product Number: 4205.04.15**DABC LICENSING AND COMPLIANCE SYSTEM**

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The Licensing and Compliance system is a fully functional liquor license and compliance tracking application used by the Department of Alcoholic Beverage Control. It is a custom developed client application written in ASP.NET that utilizes the Oracle back-end database hosted on the DABC Enterprise IBM Server located in the DABC Data Center.

The system manages information relating to applicants for licenses, current licensees, renewals of licenses, and the number of available licenses under the quotas for each license type. It tracks audit visits by compliance officers, violations, and licensee financial information. It also provides a mechanism for automatic license renewal generation.

The hours of support required for the Compliance System are listed below.

Application	Support Hours	Days of Week
Compliance	8 am to 5 pm	Monday - Friday

Product Features and Descriptions

Feature	Description
Liquor Licensing	Facilitates the process of liquor license and permit applications, Package agency contracts, and provides information to the Alcoholic Beverage Control Commission relative to licensee demographics, quotas per license type and geographical location, etc.

State of Utah

Product Description

Licensee Tracking	Records information about licensees in a central database, including location, ownership, financial, insurance, bonding, business licensing, etc. and tracks ongoing activities and history of the licensee's interactions with the department.
License Renewals	Facilitates the process of annual renewals for current licenses and the collection of license fees.
Auditing	Assists the compliance officers in recording the results of audit visits, monitoring compliance with liquor laws, and maintaining current information about the licensees.
Violations and Complaints	Records complaints of possible violations of liquor laws by licensees and facilitates any adjudication actions resulting there from.
Reporting	Reporting is provided for the compliance officers, Alcoholic Beverage Control Commissioners, Licensees and other divisions with the DABC, and also with agencies outside of the DABC as necessary.
Program Interfaces	The application interfaces with the Carillon Financials package in regards to fees assessed and collected, and with the Escalate Retail (GERS) System for processing licensee orders. Liquor Law Enforcement also has read-only access to the database.
Custom Programming	The entire application was designed and programmed in-house using ASP.NET.
Data Extracts	Periodic transaction logs are created approximately every 20 minutes and transmitted to Richfield where they are applied to the backup & disaster recovery fail-over server. Additional data extracts are performed for the National Alcohol Beverage Control Association (NABCA) and for State FiNet.
Program modifications	Program bug fixes and/or system enhancements are deployed on schedule as prioritized and agreed upon by the DABC executive management and the ITAC members.
System Response Time	The on-site server location provides instantaneous response to user requests and other system interfaces including compliance operations and real-time enquiries from the licensee online-renewal service.

Features Not Included

Feature	Explanation
User Training	DTS does not support user training.
User Manuals	The creation and maintenance of user manuals is done by DABC.
Contract Administration	The licensing & compliance system is a custom solution, designed and written in ASP.NET on Oracle. There is no vendor contract.

Rates and Billing

State of Utah

Product Description

Feature	Description	Base Rate
Application DBA	Primary responsibility for the health and maintenance of all instances of the production database including load balancing, synchronization with the backup server in Richfield, backup and restore operations etc.	See DTS Approved Rate 1 DBA
Code bug fixes and enhancements	Program, unit and beta test the application to fix reported bugs, research and fix discrepancies between system databases, program enhancements and development of new functionality as requested.	See DTS Approved Rate 3 Programmer/Analysts
Hardware Support	System hardware installation, environment, LAN/WAN connectivity, etc.	Support within established rates for DTS enterprise hosting, networking, & security staff as appropriate.

Ordering and Provisioning

Licensing and compliance users and/or DTS support personnel report application bugs to the development staff using the Development Help Desk process currently in place. Program bugs are prioritized and resolved by the development group and reported to the agency's Information Technology Advisory Council (ITAC) on a regular basis.

Enhancement requests for program improvements or new functionality are made in writing to the Systems Development Supervisor, who logs them into the ITAC project tracking system. These requests are then discussed and prioritized in a formal bi-monthly ITAC review meeting.

DTS Responsibilities

1. Manage the DTS personnel resources to ensure efficient and effective support of the programs, servers, network, databases and hardware.
2. Participate with the ITAC in identifying and prioritizing program fixes and enhancements.
3. Program, test and deploy bug/break fixes, modifications and system enhancements.
4. Ensure that the various databases that interact with the licensing and compliance system are kept in sync on a day-to-day basis.
5. Assist the agency in defining requirements for enhancements or requests for new functionality. Engage with the DABC leadership for confirmation that proposed changes meet the business needs of the agency.
6. Define technical requirements for enhancement requests and legislative mandates.

State of Utah

Product Description

7. Support the network, servers and other hardware to ensure “up time” to the DABC office during hours of operation. This includes on-call time for business hours outside of normal working hours for DTS personnel.
8. Monitor database performance regularly and provide tuning when required.
9. Provide database support to ensure all instances are operational during hours when the application needs to be available.
10. Backup the database nightly and ensure recovery capabilities, including disaster recovery from the Richfield data center.
11. Provide desktop support to fix problems with equipment used to run the licensing and compliance application.
12. Maintain the ITAC Project Tracking program to ensure that user requests are visible, prioritized, developed and delivered as expected by agency managers.
13. Maintain other systems required to support the licensing and compliance application, including Escalate Retail (GERS) System, and Carillon Financials accounts receivable package.
14. Risk Assessments recently completed at DABC identified existing mitigation controls that are in effect at this time. DTS will verify and test all existing mitigation controls that are associated with DTS functions.
15. Encryption of PI or sensitive data using AES-256. DTS provides encryption of restricted data at rest and encryption of transit PCI and sensitive data via VPN tunnels using AES-256 standards.

Agency Responsibilities

1. Participate in defining the business requirements for changes requested through the ITAC process.
2. Report bugs discovered in the application using the System Development Help Desk procedures. Identify what the user was doing when the bug occurred, any error messages encountered and steps to reproduce the problem.
3. Perform acceptance testing of each new release of the application and report any problems to the systems development unit.
4. Write and maintain operation manuals explaining the processes required to use the application effectively and provide user training as required.
5. Risk Assessments recently completed at DABC identified existing mitigation controls that are in effect at this time. DABC will verify and test all existing mitigation controls that are associated with DTS responsibilities.

DTS Service Levels and Metrics

State of Utah

Product Description

In an effort to improve service to our customer agencies, DTS will measure and report on the following enterprise metric goals:

- Application Availability
- Resolution Time
- Initial Response
- First Contact Resolution
- Customer Satisfaction Surveys

Application Availability:

Application availability measures DTS' efforts to ensure agency key business applications meet the percent of availability goals identified in the agency Service Level Agreements (SLA). DTS will determine application availability based upon the collective measurement of the configuration items (both hardware and software) which are determinant to supporting the agency business services applications. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months and posted to the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
Availability during production hours based on 23 Hrs/Day, 6.5 Days/Week (38,870 min/mo).	99% Availability

Resolution Time:

Resolution time measure DTS' efforts to resolve customer incidents within the time lines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Total Time to Resolution	Target: Percent of Tickets Meeting Priority Timelines
Low priority - 6 Business hours	90%
Medium priority - 4 Business hours	90%
High priority – 3 Clock hours	90%
Critical priority - 3 Clock hours	95%

Initial Response:

Initial response measure DTS' efforts to respond to customer incidents within the timelines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Time to Initial Response	Target: Percent of Tickets Meeting Priority Timelines
Low priority – 1 Business hour	85%
Medium priority – 1 Business hour	85%
High priority – 1 Clock hour	90%

State of Utah

Product Description

Critical priority – 30 Clock minutes	95%
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First Contact Resolution:

First contact resolution measures DTS' efforts to resolve customer incidents on initial contact with either our help desk or a technical specialist. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
First Contact Resolution	95% of all incidents reported resolved on initial contact

Customer Satisfaction Surveys and Reporting:

All users/customers whose technical incidents are resolved by DTS staff will be given the opportunity to respond to an on-line survey regarding their level of satisfaction with the support received from DTS. Responding to the survey is voluntary.

The chart below identifies DTS enterprise goals for customer satisfaction. Cumulative monthly reports will be created displaying the customer's level of satisfaction with DTS support. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Customer Satisfaction Target

Metric Description	Target
Average level of satisfaction with resolution efforts	≥ 4.5 on a scale of 0 - 5
Percentage of respondents expressing satisfaction (vs. dissatisfaction)	95% of respondents satisfied